



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

3634

Application Serial No. 10/052,854
Filing Date October 25, 2001
Inventorship Edward J. Stern Jr.
Group Art Unit 3634
Examiner Unknown
Attorney's Docket No. ST60-001
Title: Protection Device for an Overhead Door

Acc
4/10/03
#4

Transmittal Letter and Certificate of Mailing

To: Box Non-Fee Amendment
Assistant Commissioner for Patents
Washington, D.C. 20231

From: Randy A. Gregory
Wells St. John P.S.
601 W. First Avenue, Suite 1300
Spokane, WA 99201-3828
Telephone: (509) 624-4276
Fax: (509) 838-3424

Enclosed are:

1. PTO Return Postcard Receipt
2. Transmittal Letter with Certificate of Mailing included.
3. Substitute Information Disclosure Statement including PTO-1449
4. Cited Reference

RECEIVED

APR 09 2003

GROUP 3600

[X] Small Entity Status is claimed.

Small Entity Status Applies [X] Large Entity Status Applies []

Deposit Account Authorization - The Commissioner is hereby authorized to charge payment of fees or credit overpayment to Deposit Account No. 23-0925 in connection with: any patent application processing fees under 37 CFR 1.17; and any filing fees under 37 CFR 1.16 for the presentation of extra claims.

Date:

April 3, 2003

By:

Randy A. Gregory
Randy A. Gregory
Reg. No. 30,386

CERTIFICATE OF MAILING

I hereby certify the items listed above as enclosed are being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to Box Non-Fee Amendment, The Assistant Commissioner for Patents, Washington, D.C. 20231, on the below-indicated date:

Dated:

4/2/2003

Signature:

Name:

MaryJo Kraut
MaryJo Kraut



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. 10/052,854
Filing Date October 25, 2001
Inventorship Edward J. Stern Jr.
Group Art Unit 3634
Examiner Unknown
Attorney's Docket No. ... ST60-001
Title: Protection Device for an Overhead Door

RECEIVED

APR 09 2003

GROUP 3600

SUBSTITUTE INFORMATION DISCLOSURE STATEMENT

This document is being submitted in an effort to comply with the duty of disclosure defined in the Code of Federal Regulations, specifically 37 CFR §1.56. The duty of disclosure imposed by the Patent Office extends to inventors, the applicant's attorneys, and others associated with the filing and prosecution of the patent application. It requires that all information known to such individuals which is material to the patentability of this invention be disclosed to the Patent Office.

The information being submitted is listed on the attached form PTO-1449. The listing includes patentee, patent number, and issue date. Foreign documents are identified by country, document number, and publication date. Magazine articles and other documents are identified by author, title, page no., date and place of publication. The Examiner is requested to make these citations of official record in this application. Copies are enclosed unless otherwise noted. Available translations of any foreign documents are submitted in compliance with 37 CFR §1.98(c).

The submission of this material is not an admission that the information is in fact prior art properly assertible against the application. The applicant(s) specifically reserve the right to question or prove that this information is not properly asserted against one or more claims of this application or claims submitted in a derivative application.

This submission is being made pursuant to the following provision(s):

1. ☐ 37 CFR §1.97(b)(1-2) - No fee is due because it is being submitted within three (3) months of the filing date or national stage entry date.
2. ☒ 37 CFR §1.97(b)(3) - No fee is due because it is being submitted before the mailing date of the first office action on the merits.
3. ☐ 37 CFR §1.97(c) - A fee is due because it is being submitted without a certification after the mailing date of the first office action on the merits and after 3 months from the filing date.
4. ☐ 37 CFR §1.97(c) & (e) - This submission is before the mailing of a final action and before mailing of a notice of allowance. No fee is due because it is being submitted with a certification as provided below.
5. ☐ 37 CFR §1.97(d) & (e) - This submission is being made before payment of the issue fee and after the mailing of a final action or after mailing of a notice of allowance. Also enclosed are a petition and the fee is either enclosed or should be withdrawn from the deposit account indicated in the transmittal letter.
6. ☐ 37 CFR §1.98(d) - Copies of some or all of the references are not being submitted because they were submitted in prior application Serial No. upon which priority is claimed. Copies of any references not excepted under this provision are enclosed.
7. ☐ 37 CFR §1.97(a)(3) - An explanation of the relevance of the references is not provided except unless this box is checked. If checked, then a concise explanation of the relevance is provided in connection with each item which is not in the English language.
8. ☐ Some or all of the references are incomplete. Applicant has submitted everything in possession.

Date:

April 2, 2003

By:

Randy A. Gregory
Randy A. Gregory
Reg. No. 30,386